



01-07-04

PATENT
020673

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Seaman, et al. : METHODS AND SYSTEMS FOR
Serial No.: 10/631,165 : PROCESSING AND MANAGING
Filing Date: July 31, 2003 : CORPORATE ACTION INFORMATION
: INCLUDING VOLUNTARY AND
: MANDATORY CORPORATE ACTION
: DATA

INFORMATION DISCLOSURE STATEMENT

January 6, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Commissioner:

Applicants, in accordance with the duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the references listed on the accompanying form PTO/SB/08A *Information Disclosure Statement by Applicant* (Substitute for Form-1449A/PTO). Copies of the references cited therein are enclosed.

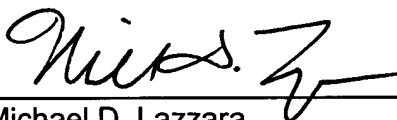
Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this

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Information Disclosure Statement by Applicant "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Mike D. Lazzara", written over a horizontal line.

Michael D. Lazzara
Reg. No. 41,142

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PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 2 of 3		Complete if Known	
		Application Number	10/631,165
		Filing Date	July 31, 2003
		First Named Inventor	Seaman
		Art Unit	
		Examiner Name	
		Attorney Docket Number	020673

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		"Xcitek offers Exchange Data International data via Xcitek.com," printed from http://www.exchange-data.com/products/press/xcitek.asp Internet site, accessed on 6/28/2002, 3 pages.	
		"Corporate Actions Processing System," printed from http://www.exchange-data.com/products/corpactprocess.asp Internet site, accessed on 6/28/2002, 5 pages.	
		CRISTINA McEACHERN, "Raymond James Signs With Xcitek For Corporate Actions Processing," <i>Wall Street & Technology Magazine</i> , printed from http://www.wallstreetandtech.com/story/mag/WST20010514S0011 Internet site, accessed on 6/27/2002, 2 pages.	
		"eActions: A Unique and Exciting Corporate Actions Notification Service," printed from http://www.eactions.hubdata.com/ Internet site, accessed on 6/27/2002, 1 page.	
		"Meeting the Needs of Growing Advisors," printed from http://www.eactions.hubdata.com/info.asp Internet site, accessed on 6/27/2002, 2 pages.	
		"Frequently Asked Questions," printed from http://www.eactions.hubdata.com/faq.asp Internet site, accessed on 6/27/2002, 2 pages.	
		"CAMS Corporate Actions Management System," printed from http://www.efsols.com/statichtml/camspg.html Internet site, accessed on 6/11/2002, 1 page.	
		"Sponsors," printed from http://www.sia.com/ops2002/html/sponsors.html , Internet site, accessed on 7/1/2002, 10 pages.	

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 3 of 3		Complete if Known	
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		Art Unit	
		Examiner Name	
		Attorney Docket Number	020673

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		XCITEK CONSULTING SERVICES, INC., "System Features & Functionality," September 1996, New York, NY, 17 pages.	
		XCITEK and SOLUTIONS PLUS, "The Xcitek Solutions Plus Corporate Actions Processing Application, System Features & Functionality," March 1999, New York, NY, 32 pages.	
		"Xcitek Update," Summer 1996, 1 page.	
		"Now You Can Take Complete Control of all Corporate Actions Plus Provide Proper Notification to Your Clients," Solutionsplus, 1 page.	
		United States Patent Application No. 10/631,243, filed July 31, 2003. (Attorney Docket No. 020420)	

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